

**PATENT APPLICATION  
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of

Docket No: Q76816

Kenichi NAKATATE, et al.

Appln. No.: 10/649,657

Group Art Unit: Not yet assigned

Confirmation No.: Not yet assigned

Examiner: Not yet assigned

Filed: August 28, 2003

For: OPTICAL APPARATUS

**INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. §§ 1.97 and 1.98**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

In accordance with the duty of disclosure under 37 C.F.R. § 1.56, Applicant hereby notifies the U.S. Patent and Trademark Office of the documents which are listed on the attached PTO/SB/08 A & B (modified) form and listed herein and which the Examiner may deem material to patentability of the claims of the above-identified application.

1. Japanese Unexamined Patent Application Publication No. 06-34830, published February 10, 1994.
2. Japanese Unexamined Patent Application Publication No. 02-293352, published December 4, 1990.
3. Japanese Unexamined Patent Application Publication No. 09-309742, published December 2, 1997.
4. Japanese Unexamined Patent Application Publication No. 06-166522, published June 14, 1994.

## INFORMATION DISCLOSURE STATEMENT

U.S. Appln. No.: 10/649,657

5. Japanese Unexamined Patent Application Publication No. 06-166528, published June 14, 1994.
6. Japanese Unexamined Patent Application Publication No. 06-287022, published October 11, 1994.
7. Japanese Unexamined Patent Application Publication No. 03-109233, published May 9, 1991.
8. Japanese Unexamined Patent Application Publication No. 03-88743, published April 15, 1991.
9. Japanese Unexamined Patent Application Publication No. 07-61823, published March 7, 1995.
10. Japanese Unexamined Patent Application Publication No. 07-187684, published July 25, 1995.
11. Japanese Unexamined Patent Application Publication No. 08-295520, published November 12, 1996.
12. Japanese Unexamined Patent Application Publication No. 08-295521, published November 12, 1996.
13. Japanese Unexamined Patent Application Publication No. 09-2828, published January 7, 1997
14. Japanese Unexamined Patent Application Publication No. 09-124337, published May 13, 1997.

## INFORMATION DISCLOSURE STATEMENT

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15. Japanese Unexamined Patent Application Publication No. 11-29335, published February 2, 1999.
16. Japanese Unexamined Patent Application Publication No. 2000-95535, published April 4, 2000.
17. Japanese Unexamined Patent Application Publication No. 2000-103629, published April 11, 2000.
18. Japanese Unexamined Patent Application Publication No. 2000-191329, published July 11, 2000.
19. Japanese Unexamined Patent Application Publication No. 2000-226223, published August 15, 2000.
20. Japanese Unexamined Patent Application Publication No. 2000-275416, published October 6, 2000.
21. Japanese Unexamined Patent Application Publication No. 11-195576, published July 21, 1999.
22. Japanese Unexamined Patent Application Publication No. 2001-110698, published April 20, 2001.
23. Japanese Unexamined Patent Application Publication No. 2003-31491, published January 31, 2003.
24. Japanese Unexamined Patent Application Publication No. 2003-133198, published May 9, 2003.

INFORMATION DISCLOSURE STATEMENT  
U.S. Appln. No.: 10/649,657

One copy of each of the listed documents is submitted herewith, together with an English language abstract thereof.

The present Information Disclosure Statement is being filed: (1) No later than three months from the application's filing date for an application other than a continued prosecution application (CPA) under §1.53(d); (2) Before the mailing date of the first Office Action on the merits (whichever is later); or (3) Before the mailing date of the first Office Action after filing a request for continued examination (RCE) under §1.114, and therefore, no Statement under 37 C.F.R. § 1.97(e) or fee under 37 C.F.R. § 1.17(p) is required.

The submission of the listed documents is not intended as an admission that any such document constitutes prior art against the claims of the present application. Applicant does not waive any right to take any action that would be appropriate to antedate or otherwise remove any listed document as a competent reference against the claims of the present application.

The USPTO is directed and authorized to charge all required fees, except for the Issue Fee and the Publication Fee, to Deposit Account No. 19-4880. Please also credit any overpayments to said Deposit Account. A duplicate copy of this paper is attached.

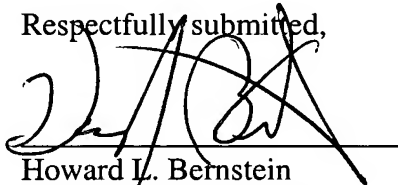
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**23373**

CUSTOMER NUMBER

Respectfully submitted,



Howard L. Bernstein  
Registration No. 25,665

Date: October 10, 2003

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| Substitute for Form 1449 A & B/PTO<br><br><b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(use as many sheets as necessary)</i> |  | <i>Complete if Known</i> |                  |
|                                                                                                                                                    |  | Application Number       | 10/649,657       |
|                                                                                                                                                    |  | Confirmation Number      | Not yet assigned |
|                                                                                                                                                    |  | Filing Date              | August 28, 2003  |
|                                                                                                                                                    |  | First Named Inventor     | Kenichi NAKATATE |
|                                                                                                                                                    |  | Art Unit                 | Not yet assigned |
|                                                                                                                                                    |  | Examiner Name            | Not yet assigned |
| Sheet 1 of 2                                                                                                                                       |  | Attorney Docket Number   | Q76816           |

## U.S. PATENT DOCUMENTS

| Examiner<br>Initials* | Cite<br>No. <sup>1</sup> | Document Number |                                      | Publication Date<br>MM-DD-YYYY | Name of Patentee or Applicant of Cited Document |
|-----------------------|--------------------------|-----------------|--------------------------------------|--------------------------------|-------------------------------------------------|
|                       |                          | Number          | Kind Code <sup>2</sup><br>(if known) |                                |                                                 |
|                       |                          | US              |                                      |                                |                                                 |
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## FOREIGN PATENT DOCUMENTS

| Examiner<br>Initials* | Cite<br>No. <sup>1</sup> | Foreign Patent Document      |                     |                                      | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Translation <sup>6</sup> |
|-----------------------|--------------------------|------------------------------|---------------------|--------------------------------------|--------------------------------|----------------------------------------------------|--------------------------|
|                       |                          | Country<br>Code <sup>3</sup> | Number <sup>4</sup> | Kind Code <sup>5</sup><br>(if known) |                                |                                                    |                          |
|                       |                          | JP                           | 06-34830            | A                                    | 02-10-1994                     |                                                    | abstract                 |
|                       |                          | JP                           | 02-293352           | A                                    | 12-04-1990                     |                                                    | abstract                 |
|                       |                          | JP                           | 09-309742           | A                                    | 12-02-1997                     |                                                    | abstract                 |
|                       |                          | JP                           | 06-166522           | A                                    | 06-14-1994                     |                                                    | abstract                 |
|                       |                          | JP                           | 06-166528           | A                                    | 06-14-1994                     |                                                    | abstract                 |
|                       |                          | JP                           | 06-287022           | A                                    | 10-11-1994                     |                                                    | abstract                 |
|                       |                          | JP                           | 03-109233           | A                                    | 05-09-1991                     |                                                    | abstract                 |
|                       |                          | JP                           | 03-88743            | A                                    | 04-15-1991                     |                                                    | abstract                 |
|                       |                          | JP                           | 07-61823            | A                                    | 03-07-1995                     |                                                    | abstract                 |
|                       |                          | JP                           | 07-187684           | A                                    | 07-25-1995                     |                                                    | abstract                 |
|                       |                          | JP                           | 08-295520           | A                                    | 11-12-1996                     |                                                    | abstract                 |
|                       |                          | JP                           | 08-295521           | A                                    | 11-12-1996                     |                                                    | abstract                 |

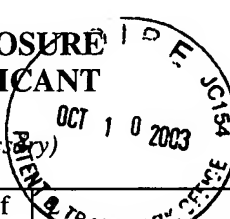
## NON PATENT LITERATURE DOCUMENTS

| Examiner<br>Initials* | Cite<br>No. <sup>1</sup> | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city, and/or country where published. | Translation <sup>6</sup> |
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kind Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov), MPEP 901.04 or in the comment box of this document. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST. 3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to indicate here if English language Translation is attached.

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| FOREIGN PATENT DOCUMENTS |                          |                              |                     |                                             |                                |                                                    |                          |
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| Examiner<br>Initials*    | Cite<br>No. <sup>1</sup> | Foreign Patent Document      |                     |                                             | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Translation <sup>6</sup> |
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|                          |                          | JP                           | 09-2828             | A                                           | 01-07-1997                     |                                                    | abstract                 |
|                          |                          | JP                           | 09-124337           | A                                           | 05-13-1997                     |                                                    | abstract                 |
|                          |                          | JP                           | 11-29335            | A                                           | 02-02-1999                     |                                                    | abstract                 |
|                          |                          | JP                           | 2000-95535          | A                                           | 04-04-2000                     |                                                    | abstract                 |
|                          |                          | JP                           | 2000-103629         | A                                           | 04-11-2000                     |                                                    | abstract                 |
|                          |                          | JP                           | 2000-191329         | A                                           | 07-11-2000                     |                                                    | abstract                 |
|                          |                          | JP                           | 2000-226223         | A                                           | 08-15-2000                     |                                                    | abstract                 |
|                          |                          | JP                           | 2000-275416         | A                                           | 10-06-2000                     |                                                    | abstract                 |
|                          |                          | JP                           | 11-195576           | A                                           | 07-21-1999                     |                                                    | abstract                 |
|                          |                          | JP                           | 2001-110698         | A                                           | 04-20-2001                     |                                                    | abstract                 |
|                          |                          | JP                           | 2003-31491          | A                                           | 01-31-2003                     |                                                    | abstract                 |
|                          |                          | JP                           | 2003-133198         | A                                           | 05-09-2003                     |                                                    | abstract                 |

| NON PATENT LITERATURE DOCUMENTS |                       |                                                                                                                                                                                                                                                                  |                          |
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| Examiner Initials*              | Cite No. <sup>1</sup> | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city, and/or country where published. | Translation <sup>6</sup> |
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<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kind Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov), MPEP 901.04 or in the comment box of this document. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST. 3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to indicate here if English language Translation is attached.